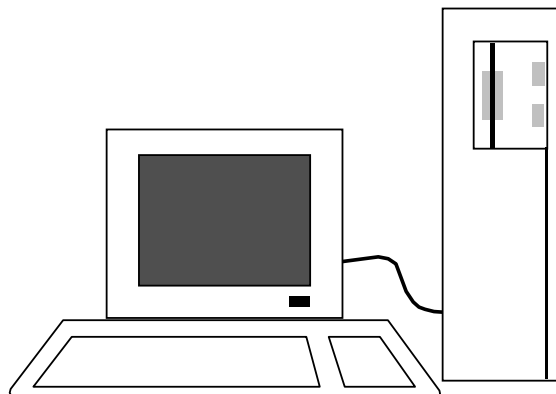


Division of Administrative Services



The administrator of the Division of Administrative Services supervises the division and is responsible for the supervision and monitoring of the agency budget, personnel activities, data processing, and general administrative services.

Information Services Section

On the application side of the Information Services Section, the following list was accomplished to improve user applications:

- Implemented the Complaints Tracking system to track all consumer complaints against agents and companies.
- Developed more than 15 Complaints system management reports for use in assigning and analyzing consumer insurance complaints against companies or agents.
- Implemented COSMOS—a third-party vendor developed software system—to perform a variety of insurance regulatory functions, including agent and company licensing, invoicing and rates and forms filings. Implementation required interchange of data with national registries by developing interfaces, downloads and uploads, and reports.
- Developed 25 reports for the COSMOS system to report revenue, analyze rates and forms filings, and generate billing notices.
- Developed an imaging capability to electronically store, retrieve and view large amounts of OCI documents including rates and forms filings, producer applications, and company incorporation papers.
- Completed the imaging of all State Life Insurance Fund files.
- Completed the imaging of forms files from previous years, and began imaging Agent Licensing back files.
- Set up hardware and user manuals for electronic public access to rates and forms information.
- Developed several business use cases used to program components of the new Premium Tax system used to calculate and administer the state's tax on insurance companies writing premiums in Wisconsin.
- Completed the Premium Tax Payment Processing system.
- Placed Premium Tax Payment Vouchers on OCI's Internet Web site.
- Developed a series of improvements for the Patients Compensation Fund system including: enhanced survey reports for corporations, enhanced certified letters and labels; enhanced certificate creator and

verifier program to handle errors appropriately and create files easier; new screens for users to enter ISO codes and provider types; a new logon program that utilizes the new security measurements; and automated the lockbox retrieval process.

- Updated the OCI Internet Web site to provide up-to-date information to insurance customers and the insurance industry.

On the technical side of the Information Services Section, the following list was accomplished to improve user access:

- Provided for replacement of laptop computers for financial examiners.
- Installed anti-virus patches to protect OCI users from several Internet viruses.
- Installed an additional server.
- Upgraded the Oracle database software to version 8.17.

On the management side of the Information Services Section, the following list was accomplished to improve program management:

- Adopted Issue Tracker as a means to track the status of resolving IT system errors and system enhancements.
- Provided on-site, low-cost training on PL/SQL for agency developers.
- Developed milestones for the move of the agency's IT operations to the GEF III Building in Madison.
- Designed the agency's Local Area Network room space at GEF III.
- Developed milestones for the shutdown and replacement of the agency's WANG minicomputer.
- Handled 798 calls to the IT help desk and resolved all but 55 problems within one day of notification.

Services Section

The Services Section provides basic and essential office services that not only facilitate the work of OCI staff, but assist the insurance industry and the general public as well. Service areas include records management, forms management, mail services, walk-in and telephone reception, Web site maintenance and management, service of process, and general office support.

Records Management

By providing records management for the entire agency, the records manager maintains agency-wide records and makes available public records.

The records manager is a liaison to agency business areas for issues involving records in all media, and the position is a liaison to outside agencies including the State Historical Society, the Department of Administration's Records Management Section, the Department of Electronic Government, and on cross-agency teams resolving records issues. The records manager attends meetings of the Wisconsin Information Resources Council, the State Web Administrator's Group, the E-Records Committee, and the Licensing and Permitting Portal team. The records manager is also part of agency committees and workgroups, including the Information Technology (IT) Strategic Planning Committee.

There are several records management practices currently in use at OCI. A central file of the agency Records Disposition Authorizations (RDAs) and general records schedules is maintained. In the process of analyzing business practices as they relate to records, a yearly inventory of records is conducted and an analysis of the need for new and revised RDAs is considered. Records storage information, including location, is tracked both on- and off-site by maintaining databases in Microsoft Access. This aids in the annual inventory of records on-site, and the rotation of some to the off-site storage facility.

Responses to open records requests for information are tracked closely by central files. The office expends great effort to respond quickly and efficiently to the many public requests we receive, and retaining statistics helps track our effectiveness. Records are provided to requesters via numerous formats: paper, microfilm, and electronic. Conversion of records to electronic format brings different challenges to fulfill open records requests. OCI has met that challenge head on and has installed a workstation from which rates and forms records can be viewed and queued for printing for those wishing copies. Additional

work will continue in providing access to requested records by electronic means.

The records manager also works with the database administrator and other IT staff, which allows input from a records viewpoint relating to the impact that the process of changing how our electronic data and records are stored has on records management issues. In this process, not only the content of the data is examined, but discussion also takes place regarding the migration of data between media and how the potential purchase of software/hardware might impact records.

Effective records management practices allow us to better serve the insurance industry and the general public, as well as our staff. Through operation of our Central Files Section, the records manager makes public records available. These records include:

- insurance company rates, approved policy forms, articles and bylaws, biographical sketches of officers and directors, financial examination reports, holding company registration, contracts, correspondence, and financial statements
- consumer complaint information (closed files only)

Publications Distribution

Also available through Staff Services are publications with helpful information for people shopping for insurance. Titles in greatest demand include:

- Guide to Long-Term Care
- Long-Term Care Insurance Policies Approved in Wisconsin
- Medicare+Choice Questions and Answers
- Medicare Supplement Insurance Approved Policies
- Wisconsin Guide to Health Insurance for People with Medicare

Mail Service

By offering centralized mail service to the agency, staff provides an essential office function. Mail room staff handles all incoming mail for the entire agency. The process involves receiving, opening, determining appropriate business area for response, date stamping, and sorting to mailboxes. The mailroom is also a central area where incoming faxes are received and distributed and package deliveries are accepted and announced. Mail room staff accumulates agency-wide outgoing mail in this area and prepares it for pick-up as well.

Reception Service

The first people met by visitors to the agency are our receptionists. These individuals greet all comers to our office and assist them in their business needs. As well as greeting and referring visitors, the receptionists take incoming telephone calls to the central switchboard, determine the needs of the callers, and transfer calls to appropriate staff. The reception staff also acts as a formal starting point for visitors to the agency. All visitors are now required to sign in. Visitors await staff with whom they are visiting to come and retrieve them from the reception area.

Web Service

Citizens increasingly interact with state agencies electronically. Agency staff also accesses information increasingly via electronic means. These interactions have grown substantially over the last few years, and particularly since Executive Order No. 408 was issued in 2000. This executive order directs all Executive Branch Agencies to incorporate digital age means of interaction with government by Wisconsin citizens and businesses. Staff Services provides the required staff and expertise in delivering content, as determined by program areas and the OCI Web Committee, to our internal and external web sites.

2001 Statistics

- Continued tracking of production statistics and performance measures for all service areas allowed us to gauge our progress in serving staff and the public.
- The switchboard referred a large number of calls incoming to the central switchboard. The average number of calls answered daily was 200.
- The service of process section has seen a decline in service of process requests. There has also been a decline in telephone inquiries for registered agent names and addresses. Registered agent contact information is more frequently found directly on OCI's Web site. There were 247 processes served by OCI in 2001. See the table below for Web site statistics regarding registered agent lookups.
- The OCI Internet site contains approximately 1,300 pages. Many OCI publications, forms, and other regularly requested material and information has been available on the site for several years. More is being published there regularly. Wisconsin citizens and businesses are finding the information at an increasing rate on the site. In the period July 22 through December 22, 2001, roughly 63,000 unique visitors visited the site.

Services Section Production Statistics (Monthly Averages)

	1998	1999	2000	2001
Telephone inquiries for Central Files	184	186	181	241
Walk-in inquiries for Central Files	66	83	68	64
Requests for files (annual statements, rates, etc.)	141 ¹	2,498 ²	2,041	1,279
Telephone inquiries regarding registered agents	555	371 ³	204 ³	
Incoming calls to agency switchboard	4,953	5,105	5,022	4,344
Processed mail (inbound and outbound)				55,404 ⁴
Reception publications sent to requesters				3,187 ⁸
Web—unique visitors				12,768 ⁵
Web—publications				10,330 ⁶
Web—registered agent lookup				8,176 ⁷

¹ This data pertains to public requests for annual statements, rate filings and company information only.

² This data includes all files pulled for public requests and internal agency staff requests.

³ Information became available via the Internet in 1999 but only reported from Web logs as of 2001. Please refer to the last line in this table for 2001 data.

⁴ Mail is logged daily. Special delivery items and boxes of mail are counted. This figure is based upon samples of box content plus all special delivery material. Not reported until 2001.

⁵ This data is based upon a sample of 154 consecutive days in 2001 (7/22-12/22) from the oci.wi.gov Web logs and analyzed using Analog v 5.1. Total "Distinct Hosts Served" was 63,840.

⁶ Based upon the same data in footnote 5. Total publications served were 58,203.

⁷ Based upon same data as footnote 5. Total Registered agent lookups was 40,883

⁸ Based upon detail records from August 2001 - December 2001.

Business Services Section

Business Services staff process all agency requests for printing, furniture, office supplies and contracts for services according to state procurement requirements with the intent of providing a most effective working environment for all agency staff. Business Services staff also provide accounts receivables cashing service, processing of vouchers for accounts payable, biennial and operating budget preparation, including monitoring, analysis and projections, and recording, analysis and reporting of all agency revenues and expenditures. Additionally, the Business Services Section, with the cooperation of building management, strives to achieve physical accommodations for maximum comfort, security, and safety, for staff and visitors alike.

Some of the accomplishments of the Business Services Section during the past year include:

- Prepared cost allocations for the company annual examination assessment.
- Prepared for the conversion of company billings to a common annual billing cycle.
- Revised the OCI Strategic Business Plan.
- Analyzed the 2001-03 biennial budget, and prepared operating budgets for each organization unit and each appropriation.
- Improved building security through the placement of signs, new check-in procedures, and the refinement of the building evacuation plan.
- Established a representative structure to allow agencywide participation in the design of downtown office space to which we will move by 2003.
- Created an Intranet resources page to answer employee questions, report progress, and provide design plans and related information regarding the impending relocation of the agency.
- Provided training on supplies and purchase cards.
- Processed 172 purchase orders, a reduction from 2000 due to expansion of the procurement card program.
- Oriented new supervisors to agency health and safety programs to improve early incident reporting, support for ergonomic equipment, and loss prevention.
- Contracted for services worth \$1.8 million.

Human Resources Section

The Human Resources Office is responsible for providing leadership and services to achieve a quality workforce to support the mission of the agency. The Human Resources Section provides support in the recruitment, hiring and retention of a skilled, committed and diverse workforce needed to provide high quality services to Wisconsin citizens. The function of the Human Resources Section encompasses personnel, payroll, benefits, employee education and training.

Some of the accomplishments of the Human Resources Section during the past year include:

- Identified a solution to an on-going compensation problem, in cooperation with the Wisconsin Professional Employees Council and the Wisconsin Department of Employment Relations.
- Assisted in carrying out efforts to assure a safe work environment, in light of the September 11, 2001, terrorist attacks on the United States. State photo ID's were distributed, training on handling of suspicious mail was provided and information on "Terrorist Attacks and Talking to Children" was offered.
- Continued the agency's ongoing supported work efforts by renewing the employment of disabled individuals through the organization Community Work Services, Inc.
- Revised an exam process in order to take advantage of insurance regulatory technical knowledge gained within the agency and to allow career growth.
- Developed outreach letters directed to companies experiencing downsizing, informing them of employment opportunities with the State of Wisconsin.
- Provided a number of training and information sessions including:
 - √ New Supervisor Orientation
 - √ Family Medical Leave Act
 - √ Time Reporting System
 - √ Worker's Compensation
- Earned the Life Office Management Association's (LOMA) Excellence in Education Award which acknowledges the commitment made by companies to support and encourage professional development for their employees, which in turn prepares both the individuals and the companies to meet tomorrow's challenges.
- Expanded the agency's electronic examination administration to include not only the Life Office Management Association testing, but also testing for the American Institute of Chartered Property Casualty Underwriter.

Alternative Work Patterns

OCI is cognizant of the need to offer a flexible work environment in order to maximize the employment options available to existing and potential state employees and to meet the needs of our constituents. OCI encourages the utilization of alternative work patterns such as flex time, part-time, and shared-time schedules to increase productivity, extend services, reduce absenteeism, improve employee morale, allow for employee development, and maximize energy conservation through ridesharing and use of mass transit systems. Currently our staff includes two job-share arrangements and four

part-time permanent employees. The agency also reviews requests, on a case-by-case basis, from staff who wish to temporarily work from their home. The agency recognizes that alternative work pattern schedules may provide opportunities for individuals to productively utilize their skills, talents, and abilities. It recognizes that a traditional, full-time, work schedule may not meet the needs of individuals whom, due to age, health, or family circumstances, find such a schedule in conflict with responsibilities outside of work.